

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
 REQUEST FOR FILING NATIONAL PHASE OF  
PCT APPLICATION UNDER 35 U.S.C. 371 AND 37 CFR 1.494 OR 1.495

To: Asst. Commissioner of Patents  
 and Trademarks  
 Washington, D.C. 20231

(Our Deposit Account No. 03-3975)

09/530867

TRANSMITTAL LETTER TO THE UNITED STATES  
 DESIGNATED/ELECTED OFFICE (DO/EO/US)

Atty Dkt: PM 268772 /1144015/DV/MB  
M# /Client Ref.

From: Pillsbury Madison & Sutro LLP, IP Group: Date: May 5, 2000

This is a **REQUEST** for **FILING** a PCT/USA National Phase Application based on:

1. International Application	2. International Filing Date	3. Earliest Priority Date Claimed
<u>PCT/CH97/00425</u> ↑ country code	7 November 1997 Day MONTH Year	7 November 1997 Day MONTH Year (use item 2 if no earlier priority)

4. Measured from the earliest priority date in item 3, this PCT/USA National Phase Application Request is being filed within:

(a)  20 months from above item 3 date (b)  30 months from above item 3 date,

(c) Therefore, the due date (unextendable) is May 7, 2000

5. Title of Invention IDENTIFICATION CARD AND IDENTIFICATION METHOD

6. Inventor(s) RITTER et al.

7. Applicant herewith submits the following under 35 U.S.C. 371 to effect filing:

Please immediately start national examination procedures (35 U.S.C. 371 (f)).

8.  A copy of the International Application as filed (35 U.S.C. 371(c)(2)) is transmitted herewith (file if in English but, if in foreign language, file only if not transmitted to PTO by the International Bureau) including:

- a.  Request;
- b.  Abstract;
- c. \_\_\_\_\_ pgs. Spec. and Claims;
- d. \_\_\_\_\_ sheet(s) Drawing which are  informal  formal of size  A4  11"

9.  A copy of the International Application has been transmitted by the International Bureau.

10. A translation of the International Application into English (35 U.S.C. 371(c)(2))

- a.  is transmitted herewith including: (1)  Request; (2)  Abstract;  
 (3) 14 pgs. Spec. and Claims;  
 (4) 4 sheet(s) Drawing which are:  
 informal  formal of size  A4  11"
- b.  is not required, as the application was filed in English.
- c.  is not herewith, but will be filed when required by the forthcoming PTO Missing Requirements Notice per Rule 494(c) if box 4(a) is X'd or Rule 495(c) if box 4(b) is X'd.
- d.  Translation verification attached (not required now).

11.  **PLEASE AMEND** the specification before its first line by inserting as a separate paragraph:  
 a.  --This application is the national phase of international application PCT/CH97/00425 filed November 7, 1997 which designated the U.S.--  
 b.  --This application also claims the benefit of U.S. Provisional Application No. 60/\_\_\_\_\_, filed \_\_\_\_\_.--

12.  Amendments to the claims of the International Application **under PCT Article 19 (35 U.S.C. 371(c)(3))**, i.e., before 18th month from first priority date above in item 3, are transmitted herewith (file only if in English) including:

13.  PCT Article 19 claim amendments (if any) have been transmitted by the International Bureau

14.  Translation of the amendments to the claims **under PCT Article 19 (35 U.S.C. 371(c)(3))**, i.e., of claim amendments made before 18th month, is attached (required by 20th month from the date in item 3 if box 4(a) above is X'd, or 30th month if box 4(b) is X'd, or else amendments will be considered canceled).

15. **A declaration of the inventor (35 U.S.C. 371(c)(4))**  
 a.  is submitted herewith  Original  Facsimile/Copy  
 b.  is not herewith, but will be filed when required by the forthcoming PTO Missing Requirements Notice per Rule 494(c) if box 4(a) is X'd or Rule 495(c) if box 4(b) is X'd.

16. **An International Search Report (ISR):**  
 a. Was prepared by  European Patent Office  Japanese Patent Office  Other  
 b.  has been transmitted by the international Bureau to PTO.  
 c.  copy herewith (3 pg(s).)  plus Annex of family members (2 pg(s).).

17. **International Preliminary Examination Report (IPER):**  
 a.  has been transmitted (if this letter is filed after 28 months from date in item 3) in English by the International Bureau with Annexes (if any) in original language.  
 b.  copy herewith in English.  
 c. 1  IPER Annex(es) in original language ("Annexes" are amendments made to claims/spec/drawings during Examination) including attached amended:  
 c. 2  Specification/claim pages #2, 2a, 4, 10, 11 claims #1-34  
 Dwg Sheets #4  
 d.  Translation of Annex(es) to IPER (required by 30<sup>th</sup> month due date, or else annexed amendments will be considered canceled).

18. **Information Disclosure Statement** including:  
 a.  Attached Form PTO-1449 listing documents  
 b.  Attached copies of documents listed on Form PTO-1449  
 c.  A concise explanation of relevance of ISR references is given in the ISR.

19.  **Assignment** document and Cover Sheet for recording are attached. Please mail the recorded assignment document back to the person whose signature, name and address appear at the end of this letter.

20.  Copy of Power to IA agent.

21.  **Drawings** (complete only if 8d or 10a(4) not completed): \_\_\_\_ sheet(s) per set:  1 set informal;  Formal of size  A4  11"

22.  **(No.) Verified Statement(s)** establishing "small entity" status under Rules 9 & 27

23. **Priority** is hereby claimed under 35 U.S.C. 119/365 based on the priority claim and the certified copy, both filed in the International Application during the international stage based on the filing in (country) Switzerland of:

	<u>Application No.</u>	<u>Filing Date</u>	<u>Application No.</u>	<u>Filing Date</u>
(1)	PCT/CH97/00425	November 7, 1997	(2) _____	_____
(3)	_____	_____	(4) _____	_____
(5)	_____	_____	(6) _____	_____

a.  See Form PCT/IB/304 sent to US/DO with copy of priority documents. If copy has not been received, please proceed promptly to obtain same from the IB.  
 b.  Copy of Form PCT/IB/304 attached.

09/530867

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526 Recd PCT/PTO 05 MAY 2000

RE: USA National Filing of PCT/CH9 425

24. Attached: Form PCT/IB/306 Notification of the Recording of a Change

25. Preliminary Amendment: ATTACHED

25.5 Per Item 17.c2, cancel original pages #\_\_\_\_\_, claims #\_\_\_\_\_, Drawing Sheets #\_\_\_\_\_  
26. Calculation of the U.S. National Fee (35 U.S.C. 371 (c)(1)) and other fees is as follows:Based on amended claim(s) per above item(s)  12,  14,  17,  25,  25.5 (hilite)

Total Effective Claims	minus 20 =	$\times \$18/\$9$	=	\$0	966/967
Independent Claims	minus 3 =	$\times \$78/\$39$	=	\$0	964/965
If any proper (ignore improper) Multiple Dependent claim is present,		add \$260/\$130	+0		968/969

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(4)): →→ BASIC FEE REQUIRED, NOW →→→A. If country code letters in item 1 are not "US", "BR", "BB", "TT", "MX", "IL", "NZ", "IN" or "ZA"

See item 16 re:

1. Search Report was <u>not prepared by EPO or JPO</u> -----	add \$970/\$485	960/961
2. Search Report was prepared by EPO or JPO -----	add \$840/\$420	+840 970/971

SKIP B, C, D AND E UNLESS country code letters in item 1 are "US", "BR", "BB", "TT", "MX", "IL", "NZ", "IN" or "ZA"

→ <input type="checkbox"/> B. If <u>USPTO</u> did not issue <u>both</u> International Search Report (ISR) <u>and</u> (if box 4(b) above is X'd) the International Examination Report (IPER), -----	add \$970/\$485	+0	960/961
→ <input type="checkbox"/> C. If <u>USPTO</u> issued ISR but not IPER (or box 4(a) above is X'd), -----	add \$690/\$345	+0	958/959
→ <input type="checkbox"/> D. If <u>USPTO</u> issued IPER but IPER Sec. V boxes <u>not all</u> 3 YES, -----	add \$670/\$335	+0	956/957
→ <input type="checkbox"/> E. If international preliminary examination fee was paid to <u>USPTO</u> <u>and</u> Rules 492(a)(4) and 496(b) <u>satisfied</u> (IPER Sec. V <u>all</u> 3 boxes YES for <u>all</u> claims), -----	add \$96/\$48	+0	962/963

27. **SUBTOTAL = \$840**28. If Assignment box 19 above is X'd, add Assignment Recording fee of ---\$40 **+0** (581)29. Attached is a check to cover the ----- **TOTAL FEES \$840**

Our Deposit Account No. 03-3975

Our Order No. 60237

268772

C#

M#

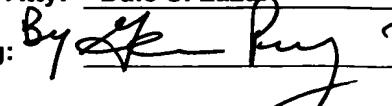
**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 and 492 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed

**Pillsbury Madison & Sutro LLP**  
Intellectual Property Group

1100 New York Avenue, NW  
Ninth Floor  
Washington, DC 20005-3918  
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Atty/Sec: DSL/nlh

By Atty: Dale S. Lazar

Sig:  28458

Reg. No. 28872

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Tel: (202) 861-3527NOTE: File in duplicate with 2 postcard receipts (PAT-103) & attachments.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION**  
**UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)**

**BOX PCT**

**COMPLETION**  
**For PCT Cases Only**

In re PATENT APPLICATION of

Inventor(s): RITTER et al.

Appln. No.: 09 | 530,867  
 Series Code ↑ | Serial No. ↑Atty. Dkt. PM 268772 | 114401.5/DV/mb  
 M# | Client Ref

National Phase Field

Based on PCT | CH97 | 00425

↑ Country Code &amp; Year

Title: IDENTIFICATION CARD AND IDENTIFICATION METHOD

Date: July 6, 2000

**FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE**Asst. Commissioner of Patents  
 Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905)  copy attached  not yet received
2.  **Signed Declaration**  Original  Facsimile/Copy  with spec/claims attached
3.  **Translation** of the International Application into English including:
  - a.  Request;
  - b.  Abstract
  - c. pgs. Spec. and Claims;  Translation verification
  - e. sheets Drawing which are:  informal  formal of size  A4  11"
4.  Copy of International Search Report (ISR) attached (    page(s))
  - a.  plus Annex of family members (    page(s))
5. **Information Disclosure Statement** including
  - a.  From PTO-1449 listing documents
  - b.  Copies of document(s) listed on Form PTO-1449
  - c.  A concise explanation of ISR references is given in the ISR
6.  **Assignment** and cover sheet. Please return the recorded assignment to the undersigned.

07/17/2000  copy of cover sheet to international application agent.

01 FC-966 252.00 OP  
 02 FC-154    (No.) Small Entity 35 USC 371(f) statement(s) establishing "small entity" status under Rules 9 & 27.

9.  Formal Drawings:    sheet(s)  informal;  formal of size:  A4  11"
10.  Please immediately start national examination procedures (35 USC 371(f))

11.  Attached:

12.  Preliminary Amendment:

13.  Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.: \$125

14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item \$125

12 (above) or item(s) in PAT-112 (filed previously)  12  14  17  25

15. **CLAIMS FEES**  previously paid  paid herewith as follows:

15A. Small Entity Statement  Herewith  Previously Filed

				Large/Small Entity	Fee Code
16. Total Effective Claims	34	minus 20 =	14	x \$18/\$9	+252
17. Independent Claims	3	minus 3 =	0	x \$78/\$39	+0
18. If <u>any</u> proper multiple dependent claim (ignore improper) is present,				\$260/\$130	+0
19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input checked="" type="checkbox"/> now				\$130/\$65	+130
20.				<b>SUBTOTAL</b>	<b>\$382</b>
21. <u>Original due date:</u> July 8, 2000					
22. Petition is hereby made to extend the <u>original</u> due date to		(1 mo)	\$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee		(2mos)	\$380/\$190 =		116/216
is attached		(3mos)	\$870/\$435 =		117/217
		(4mos)	\$1360/\$680 =		118/218
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .			\$130	+0	139
24. If "assignment" box 6 is X'd, add recording fee. . . . .			\$40	+40	581
25.			<b>TOTAL FEE ENCLOSED =</b>	<b>\$422</b>	

(Our Deposit Account No. 03-3975)  
(Our Order No. 60237 | 268772  
C#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

**This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.**

**Pillsbury Madison & Sutro LLP  
Intellectual Property Group**

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DSL/nmw

By Atty: Dale S. Lazar

Req. No. 28872

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Tet-

**(202) 822-0544**

101.

(202) 331-3327

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**